

## Office of the Chief Information Officer Enterprise Policy

### CIO-122: Enterprise Document Management Policy

Effective Date: 11/21/2019

#### Policy Statement

This policy establishes a set of controls related to enterprise document management, including associated standards and supporting guidelines. The policy's chief focus is the creation of executive branch agency-specific Document Management Plans. The policy provides guidance in decision-making and practices that optimize resources, mitigate risk, and maximize return on investment.

#### Definitions

**Public Records:** Documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency.

#### Policy

The Commonwealth Office of Technology (COT) and other executive branch agencies shall preserve and protect Commonwealth documents, both physical and digital, according to Commonwealth statutes, [Kentucky Department for Libraries and Archives \(KDLA\)](#) retention schedules, and state and agency policies. Executive branch agencies shall create a **Document Management Plan** that outlines the agency's security, handling, storing, preservation, and destruction of documents in accordance with statutory requirements.

When handling public records and developing a Document Management Plan, agencies shall also address privacy, retention, open records, and business needs. These considerations apply as well in the design, development, and operation of IT systems for handling documents and public records.

COT and agencies shall adhere to the scanning standards outlined in [ENT-103 Enterprise Digitization Standards](#), the scanning guidelines outlined in [ENT-302 Enterprise Digitization Guidelines and Best Practices](#), and the records storage guidelines outlined in [ENT-303 Enterprise Document Storage Guidelines and Best Practice](#), all published under the [Commonwealth of Kentucky Enterprise IT Policies](#).

Agencies may request exceptions to this policy by submitting a [COT-F085 Security Exemption Request Form](#) to the Commonwealth Service Desk. The CISO will consider requests on a case-by-case basis.

#### Authority

[KRS 42.726](#) authorizes the Commonwealth Office of Technology (COT) to develop policies and compliance processes to support and promote the effective applications of information technology within the executive branch of state government.

#### Applicability

All executive branch agencies and non-executive branch agencies using COT-managed infrastructure or services shall adhere to this policy. This includes employees, contractors, consultants, temporaries, volunteers, and other workers within state government.

**Responsibility for Compliance**

Each agency shall ensure that staff within their organizational authority are made aware of and comply with this policy. The agency is responsible for enforcing it. Organizations may modify this policy to fulfill their responsibilities, but shall obtain approval through an exception request. Staff should refer to their internal policy, which may have additional information or clarification. Unauthorized and/or neglectful actions regarding this policy may result in disciplinary action up to and including dismissal. COT may require additional service charges for remediation efforts due to non-compliance with this policy.

**Maintenance**

COT's Office of Contracts and Privacy is responsible for administrative coordination to maintain this policy, including review of this policy by the appropriate organizations at least every two years.

**References**

- [Commonwealth of Kentucky Enterprise IT Policies](#)
- [COT-F085 Security Exemption Request Form](#)
- [ENT-103 Enterprise Digitization Standards](#)
- [ENT-302 Enterprise Digitization Guidelines and Best Practices](#)
- [ENT-303 Enterprise Document Storage Guidelines and Best Practice](#)
- [Kentucky Department for Libraries and Archives \(KDLA\)](#)
  - [General Schedule for Electronic and Related Records](#)
  - [General Schedule for State Agencies](#)
- [KRS 42.726](#)
- [KRS 171.410, Definitions](#)